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| Form 1449 (modified)                             | Docket: 094/004D Supplemental 2  | U.S.S.N. 09/872,183         |
| Information Disclosure<br>Statement By Applicant | Title: Making Neural Cells for Human Therapy or Drug Screening from Human Embryonic Stem Cells<br>Inventors: Carpenter, et al. |                             |
| (Use Several Sheets if Necessary)                | Filing Date: May 31, 2001  | Group: 1682 APR - 1 PM 3:00 |

U.S. Patent Documents

| Examiner Initial | Ref. | Patent No. | Filing Date | Issue Date | Class/ Subclass | Inventors: | Title: |
|------------------|------|------------|-------------|------------|-----------------|------------|--------|
| (none)           |      |            |             |            |                 |            |        |

Foreign Patent or Published Foreign Patent Application

| Examiner Initial | Ref. | Document No. | Publ. Date | Jurisdiction | Title:  | Translation |
|------------------|------|--------------|------------|--------------|---|-------------|
| Am2              | EA   | WO 98/50526  | Nov 12/98  | PCT          | Generation, Characterization, and Isolation of Neuroepithelial Stem Cells and Lineage Restricted Intermediate Precursor | n/a         |
| Am2              | EB   | WO 99/01159  | Jan 14/99  | PCT          | Lineage-Restricted Neuronal Precursors  | n/a         |
| Am2              | EC   | WO 99/28443  | Jun 10/99  | PCT          | Lineage Restricted Glial Precursors from the Central Nervous System   | n/a         |

Other Documents

| Examiner Initial | Ref. | Author, Title, Date, Source  |
|------------------|------|--|
| Am2              | ED   | Kalyani, A., et al., Cell Lineage in the Developing Neural Tube, Biochem. Cell Biol. 76:1051 (1998)  |
| Am2              | EE   | Li, M., et al., Generation of Purified Neural precursors from Embryonic Stem Cells by Lineage Selection, Current Biol., Current Science 8:971 (1998)       |
| Am2              | EF   | Mujtaba, T., et al., Lineage-Restricted Neural Precursors Can Be Isolated from Both the Mouse Neural Tube and Cultured ES Cells, Dev. Biol. 214:113 (1999) |

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| Examiner <i>Anne-Marie Jalk</i> | Date Considered <i>1/5/04</i> |
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| Form 1449 (modified)                             | Docket: 094/004D Supplemental   | U.S.S.N. 09/872,183 |
| Information Disclosure<br>Statement By Applicant | Title: Neural Progenitor Cell Populations<br>Inventors: Carpenter, et al. |                     |
| (Use Several Sheets if Necessary)                | Filing Date: May 31, 2001   | Group: 1632         |

## U.S. Patent Documents

| Examiner<br>Initial | Ref. | Patent<br>No. | Filing<br>Date | Issue<br>Date | Class/<br>Subclass | Inventors: | Title: |
|---------------------|------|---------------|----------------|---------------|--------------------|------------|--------|
| (none)              |      |               |                |               |                    |            |        |

## Foreign Patent or Published Foreign Patent Application

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|---------------------|------|-----------------|---------------|-------------------|--------|-------------|----|
|                     |      |                 |               |                   |        | Yes         | No |
| (none)              |      |                 |               |                   |        |             |    |

## Other Documents

| Examiner<br>Initial | Ref. | Author, Title, Date, Source  |
|---------------------|------|--|
| Am2                 | DA   | Lamb, T.M., et al., Neural Induction by the Secreted Polypeptide Noggin, Science 262:713 (1993)  |
| Am2                 | DB   | Lim, D.A., et al., Noggin Antagonizes BMP Signaling to Create a Niche for Adult Neurogenesis, Neuron 27:713 (2000)                       |
| Am2                 | DC   | Sasai, Y., et al., Regulation of Neural Induction by the Chd and Bmp-4 Antagonistic Patterning Signals in Xenopus, Nature 376:333 (1995) |

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| Examiner <i>Anne-Marie Zalk</i> | Date Considered <i>1/5/04</i> |
|                                 |                               |

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|------------------------------------|---|---------------------------------|
| Form 1449 (modified)               | Docket: 094/004                           | U.S.S.N. To Be Assigned         |
| Information Disclosed by Applicant | Title: Neural Progenitor Cell Populations | Inventors: Melissa K. Carpenter |
| (Use Several Sheets If Necessary)  | Filing Date: May 31, 2001                 | Group: To Be Assigned           |

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U.S. Patent Documents

| Examiner Initial | Ref. | Patent No. | Filing Date | Issue Date | Class/ Subclass | Inventors:         | Title:  |
|------------------|------|------------|-------------|------------|-----------------|--------------------|---|
| Am2              | A    | 5,639,618  | May 13/94   | Jun 17/97  | 435/7.21        | Gay DA             | Method of Isolating a Lineage Specific Stem Cell in Vitro   |
|                  | B    | 5,672,499  | Jun 7/95    | Sep 30/97  | 435/240.4       | Anderson D et al.  | Immortalized Neural Crest Stem Cells and Methods of Making  |
|                  | C    | 5,698,829  | Sep 5/97    | Oct 19/99  | 435/467         | Carpenter M        | Human CNS Neural Stem Cells   |
|                  | D    | 5,768,948  | Nov 3/93    | Jun 16/98  | 435/368         | Gage FH et al.     | Method for Production of Neuroblasts  |
|                  | E    | 5,849,553  | Jun 7/95    | Dec 15/98  | 435/172.3       | Anderson DJ et al. | Mammalian Multipotent Neural Stem Cells   |
|                  | F    | 5,851,832  | Jun 7/95    | Dec 22/98  | 435/368         | Weiss S. et al.    | In Vitro Growth and Proliferation of Multipotent Neural Stem Cells and Their Progeny                |
|                  | G    | 5,968,829  | Sep 5/97    | Oct 19/99  | 435/467         | Carpenter M        | Human CNS Neural Stem Cells   |
|                  | H    | 5,981,165  | Jun 7/95    | Nov 9/99   | 435/4           | Weiss S et al.     | In Vitro Induction of Dopaminergic Cells  |
| ✓                | I    | 6,040,180  | May 7/97    | Mar 21/00  | 435/377         | Johe KK            | In Vitro Generation of Differentiated Neurons From Cultures of Mammalian Multipotent CNS Stem Cells |
| Am2              | J    | 6,238,922  | Feb 26/99   | May 29/01  | 435/380         | Uchida N           | Use of Collagenase in the Preparation of Neural Stem Cell Cultures                                  |

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|------------------|------|--------------|------------|--------------|--|-------------|----|
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| Am2              | K    | WO 98/50526  | Nov 12/98  | PCT          | Generation, Characterization, and Isolation of Neuroepithelial Stem Cells and Lineage Restricted Intermediate Precursor                              |             |    |
|                  | L    | WO 99/01159  | Jan 14/99  | PCT          | Lineage-Restricted Neuronal Precursors   |             |    |
|                  | M    | WO 99/04775  | Feb 4/99   | PCT          | Method of Treating Dopaminergic and Gaba-Nergic Disorders  |             |    |
|                  | N    | WO 00/17323  | Mar 30/00  | PCT          | Stable Neural Stem Cell Lines  |             |    |
| ✓                | O    | WO 00/47762  | Aug 17/00  | PCT          | Enriched Central Nervous System Stem Cell and Progenitor Cell Populations, and Methods for Identifying, Isolating and Enriching for Such Populations |             |    |
| Am2              | P    | WO 01/68815  | Sep 20/01  | PCT          | Embryonic Stem Cells and Neural Progenitor Cells Derived Therefrom   |             |    |

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 PTO-1449 — Page 1

Form 1449 (modified)

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Inventors: Melissa K. Carpenter

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Group: ~~To Be Assigned~~

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| Ama              | Q    | Andrews, et al., Retinoic Acid Induces Neuronal Differentiation of a Cloned Human Embryonal Carcinoma Cell Line In Vitro, Dev. Biol. 103:285 (1984)   |
|                  | R    | Bain, et al., Embryonic Stem Cells Express Neuronal Properties In Vitro, Dev. Biol. 168:342 (1995)  |
|                  | S    | Bain, et al., Retinoic Acid Promotes Neural and Represses Mesodermal Gene Expression in Mouse Embryonic Stem Cells In Culture, Chem. and Biophys. Res. Comm. 223:691 (1996)                       |
|                  | T    | Bain, et al., Neural Cells Derived by In Vitro Differentiation of P19 and Embryonic Stem Cells, Perspectives Dev. Neurobio. 5:175 (1998)  |
|                  | U    | Bodnar, et al., Extension of Life-span by Introduction of Telomerase into Normal Human Cells, Science 279:349 (1998)  |
|                  | V    | Brustle, et al., In Vitro-Generated Neural Precursors Participate in Mammalian Brain Development, Proc. Natl. Acad. Sci. USA 94:14809 (1997)  |
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|                  | X    | Clarke, et al., Generalized Potential of Adult Neural Stem Cells, Science 288:1660 (2000)   |
|                  | Y    | Deacon, et al., Blastula-Stage Stem Cells Can Differentiate into Dopaminergic and Serotonergic Neurons after Transplantation, Exp. Neurol. 149:28 (1998)  |
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|                  | AA   | Kalyani, et al., Cell Lineage in the Developing Neural Tube, Biochem. Cell Biol. 76:1051 (1998)   |
|                  | AB   | Lee, et al., Efficient Generation of Midbrain and Hindbrain Neurons from Mouse Embryonic Stem Cells, Nat. Biotechnol. 18:675 (2000)   |
|                  | AC   | Li, et al., Generation of Purified Neural Precursors from Embryonic Stem Cells by Lineage Selection, Current Biology 8:971  |
|                  | AD   | Ling, et al., Differentiation of Mesencephalic Progenitor Cells into Dopaminergic Neurons by Cytokines, Exp. Neurol. 149:411 (1998)   |
|                  | AE   | Liu, et al., Embryonic Stem Cells Differentiate into Oligodendrocytes and Myelinate in Culture and After Spinal Cord Transplantation, PNAS 97:6126 (2000)   |
|                  | AF   | Mayer-Proschke, et al., Isolation of Lineage-Restricted Neuronal Precursors from Multipotent Neuroepithelial Stem Cells, Neuron 19:773 (1997)   |
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| Amz              | AS   | Neural Implant Technologies, NeuroInvestment (Dec. 1999)  |

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